



DIVISION OF
ENFORCEMENT

UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
100 PEARL STREET, SUITE 20-100
NEW YORK, NY 10004-2616

November 15, 2024

VIA ECF

The Honorable P. Kevin Castel
United States District Judge
United States Courthouse
500 Pearl Street, Courtroom 11D
New York, NY 10007-1312

Re: *Securities and Exchange Commission v. Andre Wong, 24-cv-4231(PKC) (S.D.N.Y.)*

Dear Judge Castel:

Pursuant to Paragraph 1.C of the Court's Individual Practices in Civil Cases, Plaintiff Securities and Exchange Commission ("SEC") and Defendant Dr. André Wong ("Defendant") respectfully submit this joint request to adjourn the November 15, 2024 deadline for Defendant to respond to the Complaint and the December 3, 2024 initial pretrial conference *sine die*.

Counsel for the parties have agreed in principle to settlement terms, which, if authorized by the Commission and approved by the Court, will resolve all of the SEC's claims in this action. SEC counsel must now submit the proposed settlement for the five-member Commission's review and authorization. This process typically takes approximately six to eight weeks.

Accordingly, the parties request that the Court adjourn the deadline for Defendant to answer the Complaint and the date for the initial pretrial conference *sine die*, and set a deadline of January 10, 2025, for the parties to submit a joint status update to the Court if the parties have not filed a proposed final consent judgment by that date.

This is the third request for an extension of Defendant's deadline to respond to the Complaint. The Court previously extended this deadline at Defendant's request (with the SEC's consent) from September 9, 2024, to October 28, 2024, to allow Defendant's counsel time to evaluate their continued representation of Defendant. (Dkt. No. 17.) The Court subsequently granted a further extension to November 15, 2024, at Defendant's request (with the SEC's consent) to allow the parties time to complete their ongoing settlement negotiations. (Dkt. No. 21.)

This is the fourth request for an adjournment of the initial pretrial conference in this matter. The Court previously adjourned this conference from July 29, 2024, to September 30, 2024, at the SEC's request, to allow it additional time to perfect service of the Complaint. (Dkt. No. 11.) The Court subsequently granted two further adjournments of this conference on consent, in connection

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with the extensions of Defendant's deadlines to respond to the Complaint: from September 30, 2024, to November 19, 2024, (Dkt. No. 17) and then to December 3, 2024. (Dkt. No. 22.)

Respectfully submitted,
/s/ Sushila Rao
Sushila Rao Pentapati
Trial Counsel

cc: Counsel for Dr. Wong (by ECF)